

As a below named inventor, I hereby dec.

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ENZYME ACTIVITY SCREENING OF CLONES HAVING DNA FROM UNCULTIVATED MICROORGANISMS

the specification of which [X] is attached hereto or [] was filed on _____ as Application Serial No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed. Prior Foreign Application(s):

Priority Claimed

(Number)

(Country)

(Day/Month/Year Filed)

☐

☐

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)

(Filing Date)

(Status - patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: John N. Bain (Reg. No. 18,651); John G. Gillfillan, III (Reg. No. 22,746); Elliot M. Olstein (Reg. No. 24,025); Raymond J. Lillie (Reg. No. 31,778); Charles J. Herron (Reg. No. 23,019); William Squire (Reg. No. 25,378); and Gregory Ferraro (Reg. No. 36,134). Address correspondence and telephone calls to Charles J. Herron c/o Carella, Byrne, Bain, Gillfillan, Cecchi, Stewart & Olstein, 6 Becker Farm Road, Roseland, NJ 07068 - (201) 994-1700.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: Jay M. Short

Inventor's signature: Jay M. Short

Date: 5/16/96

Residence: 320 Delage Drive, Encinitas, California 92024

Citizenship: U.S.A.

Post Office Address: same

Full name of second inventor: Barry Marrs

Inventor's signature: Barry Marrs

Date: 5/24/96

Residence: 7 Possum Tree Lane, Kennett Square, Pennsylvania

Citizenship: U.S.A.

Post Office Address: same

Full name of third inventor: Jeffrey L. Storn

Inventor's signature: Jeffrey L. Storn

Date: 5/16/96

Residence: 13525 Samantha Avenue, San Diego, California 92129

Citizenship: U.S.A.

Post Office Address: same

Docket No. 331400-47

ENCLOSURE

BEST AVAILABLE COPY

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: RECOMBINANT BIOCATALYSIS, INC.

ADDRESS OF CONCERN: 505 Coast Boulevard, 4th Floor, La Jolla, California 92037

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the number of persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled:

ENZYME ACTIVITY SCREENING OF CLONES HAVING DNA FROM UNCULTIVATED MICROORGANISMS

Inventors:

Jay Short; Barry Harris; Jeffrey L. Stein

described in:

☒ the specification filed herewith

☐ application serial no. _____, filed _____

☐ patent no. _____, issued _____

If the rights held by the small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or as a nonprofit organization under 37 CFR 1.9(e).

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: _____

ADDRESS: _____

☐ Individual ☐ Small business ☐ Nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF PERSON SIGNING Jay M. Short

TITLE IN ORGANIZATION Chief Scientific Officer

ADDRESS OF PERSON SIGNING 505 Coast Boulevard, 4th Floor, La Jolla, CA 92037

SIGNATURE Jay M. Short

DATE 5/2/96

CARELLA, BYRNE BAIN, GILFILLAN, CECCHI, STEWART & OLSTEIN

6 Becker Farm Road - Roseland, NJ 07068 - (201) 994-1700

Docket No. 331400-47

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